

UK-Funded Research on Housing in Kenya2019





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ABOUT UKCDR

UK Collaborative on Development Research (UKCDR) is a collaborative of government and research funders working in international development. Our core contributing members include the Department for Business, Energy and Industrial Strategy; the Department for International Development; the Department of Health and Social Care; UK Research and Innovation; and the Wellcome Trust. UKCDR exists to amplify the value and impact of research for global development by promoting coherence, collaboration and joint action among UK research funders.

For further information on UKCDR, please visit **ukcdr.org.uk**.

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The report additionally benefitted from comments and feedback from Christine Kolbe (Head of DFID's East Africa Research Hub). The project was managed by Adrian Bucher (UKCDR) who was responsible for collecting, cleaning and analysing the data, acting as the key contact person for research funders, and drafting the report with support and oversight from Marta Tufet (Executive Director of UKCDR).

CONTENTS

ABOU	JT UKCDR	3			
ACKN	IOWLEDGMENTS	3			
LIST	OF ABBREVIATIONS AND ACRONYMS	5			
EXEC	UTIVE SUMMARY	6			
1. I	ntroduction	8			
2. [Data and Methodology	9			
2.1	Inclusion Criteria	9			
2.2	Data Limitations	9			
3. F	indings	10			
3.1	Overall Findings	10			
3.2	Accounting for Multiple Countries of Focus	11			
3.3	Research Organisations	11			
3.4	Housing Focus Areas Addressed	12			
3.5	Research Impact	14			
4. C	Conclusion	15			
NOTE	S	16			
Anne	x 1 – Organisations Contributing Data	17			
Anne	x 2 - Funder Profiles	18			
Brit	ish Academy	18			
British Council					
De	oartment of Business, Energy and Industrial Strategy (BEIS)	18			
Dep	oartment for International Development (DFID)	18			
Dep	oartment of Health and Social Care (DHSC)	20			
UK	Research and Innovation (UKRI)	20			
The	The Wellcome Trust				

LIST OF ABBREVIATIONS AND ACRONYMS

AHRC Arts and Humanities Research Council

APHRC African Population and Health Research Centre

BEIS Department for Business, Energy and Industrial Strategy

CCC Competitive Construction Costs

DFID Department for International Development

DHSC Department of Health and Social Care

EPSRC Engineering and Physical Sciences Research Council

ESRC Economic and Social Research Council

FY Financial Year

GBC Green Building Codes

GCRF Global Challenges Research Fund

GHR Global Health Research

GNI Gross National Income

HMG Her Majesty's Government

LMICs Low and Middle-Income Countries

MCF Multiple Countries of Focus

NERC Natural Environment Research Council

NIHR National Institute for Health Research

ODA Official Development Assistance

R&D Research and Development

SCOR Strategic Coherence for ODA-funded Research

SDG Sustainable Development Goal

UKCDR UK Collaborative on Development Research

UKRI UK Research and Innovation

Executive Summary

The UK government is committed to spending 0.7% of its Gross National Income (GNI) on Official Development Assistance (ODA). Since 2015, it has taken a whole government approach to its international development effort that leverages wider expertise through the UK's world-leading science, research and development base to tackle global problems. UK Collaborative on Development Research (UKCDR) exists to amplify the value and impact of research for global development by promoting coherence, collaboration and joint action among UK research funders.

Kenya and the UK have a long tradition of cooperation and collaboration through research and scientific partnerships and technology transfer across a variety of sectors for long-term sustainable growth. The UK-Kenya High-Level Oversight Board in Research, Science and Innovation provides a key role in facilitating this by providing strategic guidance on UK-Kenya partnerships on science, technology and innovation with the intention of identifying opportunities for further alignment of UK-funded partnerships with Kenyan priorities and any gaps.

Among those priorities outlined by the Kenyan government is the provision of affordable, new and decent houses. To that end, the UK and Kenya are hosting a research symposium on 'Healthy Cities, Housing and Sustainable Infrastructure' in Nairobi in May 2019 to showcase existing research partnerships and explore the potential for new innovative interdisciplinary collaborations. The aim of the symposium is to broker dialogue across sectors towards the use of research to inform housing policies that promote sustainable development.

In the lead up to the event, the UK Collaborative on Development Research (UKCDR) have produced a report to understand the scope of Official Development Assistance (ODA)-funded research by the UK government in the policy area of Kenyan housing, making use of data from the three UK government departments with the largest budget allocations for ODA-related research and the Wellcome Trust (the UK's largest charitable foundation), with support from Kenyan partner institutions

This report presents data on 15 UK-funded projects (initiated between financial years 2013/2014 and 2017/18 and active during the 2017/18 financial year) on research relating to housing for the benefit of Kenya worth a total of £32.9m – a figure which is reduced to an estimated £13.0m after correcting for multiple countries of focus. The Department for International Development (DFID) has invested the most funds into research related to housing in Kenya – accounting for 53.7% of the total estimated £13.0m-worth of funding (after accounting for multiple countries of focus).

Of the thematic focus areas of the projects included in this analysis, 'Zoning and Urban Planning', 'Public Land Use' and 'Upgrading Slums and Informal Settlements' received the greatest amount of attention from UK research funders – both in terms of the number of projects funded and amount of research funds invested. In total, 8 of the 12 areas considered relevant to the Kenyan government's interest in the housing policy area have been addressed by UK-funded research.

The potential nature impact of most of the research projects fell in the category of identifying housing-related challenges and solutions, with impact ranging from building resilient communities in the face of natural disasters and climate change, to the creation of low-cost construction materials for housing in Kenya. Overall, the research projects included in this analysis are relevant to 14 of the United Nations' 17 Sustainable Development Goals - emphasising the strong interdisciplinary nature of UK-funded research.

UK-Funded Research on Housing in Kenya

April 2019

1. Introduction

In December 2017, the Kenyan government identified the provision of affordable, new and decent houses as one of the four key policy areas, collectively known as the *Big Four Agenda*, that are to shape the nation's socioeconomic development strategy until 2022. It is recognised that the provision of adequate and affordable housing can contribute to reducing poverty, improving health and environmental outcomes, enhancing energy efficiency, and mitigating climate change. Delivering on this policy priority therefore requires an interdisciplinary approach that leverages science, technology and innovation, in partnership with policy, business and civil society.

With a long tradition of research and scientific collaborations and technology transfer across a variety of sectors, Kenya's partnership with the UK has the potential to be a powerful tool to address this priority area. To that end, the UK and Kenya are jointly hosting a research symposium on 'Healthy Cities, Housing and Sustainable Infrastructure' in Nairobi in May 2019 that aims to broker dialogue across sectors towards the adoption of housing policies that promote sustainable development by showcasing existing research partnerships and explore the potential for new innovative interdisciplinary collaborations, and mechanisms for improved research uptake.

In the lead up to the research symposium, UKCDR have produced a report to understand the scope of UK government-funded research in the policy area of Kenyan housing. This mapping exercise makes use of data provided by the three UK government departments with the largest budget allocations for Official Development Assistance (ODA) related research¹ (accounting for more than 95% of the total (estimated) ODA research budget)² as well as the Wellcome Trust – the UK's largest charitable foundation³, with support from Kenyan partner institutions.

2. Data and Methodology

The data used in this mapping exercise was collected from the Department for International Development (DFID); the Department for Health and Social Care (DHSC); the Department for Business, Energy and Industrial Strategy (BEIS) via the delivery partners of their flagship funding programmes: The Global Challenges Research Fund and Newton Fund; and the Wellcome Trust. Further information on each organisation's respective international development research funding programmes can be found in Annex 2.

2.1 Inclusion Criteria

Each funder was asked to provide the project title, names of institutions involved, timeframe, grant amount, abstract and impact summary of any ODA-funded⁴ research projects related to Kenyan housing in the following areas (which were identified as relevant to the government's housing policy under the Big Four Agenda by analysing the text of official Kenyan government documents)⁵:

- Access to Affordable Home Buyer Financing
- Competitive Construction Costs
- Green Building Codes for Sustainability
- Housing Sub-Sector Safety
- Innovative Developer Financing
- Investment in Low-Cost Houses Through Upgrading Slums and Informal Settlements
- Land Transfer
- Public Land Use
- Social Housing
- Supportive Ecosystems and Infrastructure
- Sustainable Building Standards and Design
- Zoning and Urban Planning

2.2 Data Limitations

There are several important considerations regarding the data included in this mapping exercise. Firstly, it must be noted that though the funded research projects address issues relevant to housing in Kenya and list the East African nation as a country of focus, most of these grants were awarded to principal investigators based in UK institutions which in turn disburse funds to their partners in Kenya. It is not possible from the data to ascertain exact amounts flowing to Kenyan institutions thereafter. In this respect, the awarded grant amounts do not reflect funds that the UK sends to Kenya in development assistance. Rather, it reflects investments in research related to (housing in) Kenya.

Secondly, most of the included research projects (10) are multi-country and it was not possible to disaggregate spend per individual country from the data provided. To correct for this, as will be discussed in section 3.2, a portion of the analysis equally divides individual grant amounts by the total number of nations listed as a country of focus. While such an assumption is imperfect and could lead to an under or over-estimation, accounting for this helps to frame our understanding of the true underlying size of UK investments into research relating to housing in Kenya.

3. Findings

3.1 Overall Findings

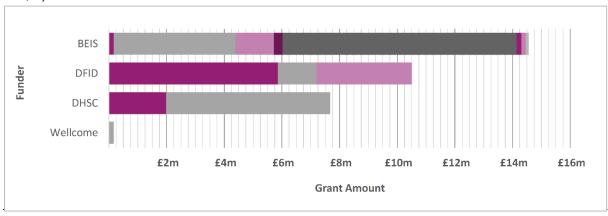
Table 1 provides summary statistics, before accounting for MCF, by funder, of research projects (worth an estimated total of £32.9 million) relating to housing where Kenya was mentioned as, at least, one of the countries of focus (and were initiated between FY 2013/2014 – FY 2017/2018 and were active during FY 2017/2018). Though BEIS has funded both the greatest amount (£14.6 million) and number of research projects (8), individual research grants were typically smaller in size and over a shorter amount of time compared to those funded by the other government departments included in this analysis (as highlighted in Figure 1). This is emphasised by the differences in the average size of the awarded grants between BEIS (£1.8 million), DFID (£3.5 million) and DHSC (£3.8 million).

Table 1 - ODA-Funded Research Projects Relating to Housing in Kenya by UK Research Funders (initiated between FY 2013/2014 - FY 2017/18 and active during FY 2017/18).

Funder	Number of Research Projects	Total Grant Amount Awarded*	Average Duration of Research Project
BEIS	8	£14.6m	23.9 months
DFID	3	£10.5m	48.3 months
DHSC	2	£7.7m	40 months
Wellcome Trust	2	£170k	12 months
Total (ODA)	13	£32.7m	32 months
Total: ODA <u>and</u> Wellcome Trust	15	£32.9m	29.3 months

Totals may not add up due to rounding.

Figure 1 - Size of Awarded ODA-Funded Grants (Individually and Overall) on Research Projects Relating to Housing in Kenya by UK Research Funders (initiated between FY 2013/2014 – FY 2017/18 and active during FY 2017/18).



Figures presented in chart reflect total grant amounts of research projects prior to considering MCF

^{*}Figures presented in this column reflect the total grant amount of research projects prior to considering research projects having multiple countries of focus(MCF).

3.2 Accounting for Multiple Countries of Focus (MCF)

As mentioned in Section 2.2, of the 15 funded research projects, 10 list multiple countries of focus (MCF), with one BEIS-funded project noting as many as 13 different countries of focus. Therefore, the information provided in Table 1 and Figure 1 overestimates the true investment by the UK in research addressing topics relevant to Kenyan housing. Though imperfect, dividing the awarded grant amounts equally by the number of listed countries of focus intends to limit the magnitude of this overestimation. This adjusted information is summarised in Table 2:

Table 2 -Estimated Grant Amounts of ODA-Funded Research Projects Relating to Housing in Kenya by UK Research Funders, considering MCF (initiated between FY 2013/2014 – FY 2017/18 and active during FY 2017/18)

	(midded 2011 1 2017,10 and dollar during 1 2017,10)				
		Correcting for MCF by Assuming Equal Weighting for All Countries			
- 1 1 1 1 1 1 1					
Funder	Number of Research Projects	Total (Estimated) Grant Amount Awarded	Average Grant Amount Awarded		
BEIS	8	£3.9m	£489k		
DFID	3	£7.0m	£2.3m		
DHSC	2	£1.9m	£959k		
Wellcome Trust	2	£170k	£85k		
Total (ODA)	13	£12.8m	£984k		
Total: ODA <i>and</i> Wellcome Trust	15	£13.0m	£864k		

Totals may not add up due to rounding.

3.3 Research Organisations

Regarding research organisations involved in the UK-funded research projects, 13 of the 15 research grants were awarded to 11 different principal investigators in institutions based in the UK, with the University of Southampton and the University of York being the only institutions that were awarded with more than one research grant. Furthermore, 11 research projects listed a Kenyan organisation as either a lead or partner institution (see Table 3).

Table 3 - Kenyan Institutions Involved with ODA-Funded Research Relating to Housing in Kenya by UK Research Funders (initiated between FY 2013/2014 – FY 2017/18 and active during FY 2017/18).

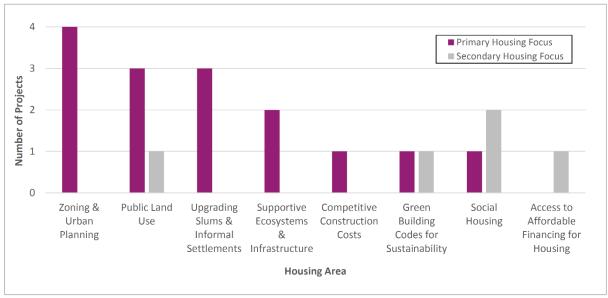
Kenyan Organisation	Number of Projects
African Population and Health Research Centre (APHRC)*	5
University of Nairobi*	3
Strathmore University	2
Kenyatta University	
SDI Kenya	1
Shack/Slum Dwellers International-Kenya	

^{*} APHRC and the University of Nairobi were the only Kenya-based institutions to be named as a lead research organisation.

3.4 Housing Focus Areas Addressed

As part of the analysis, each research project was categorised by their primary focus relating to housing (listed in Section 2.1) based on the content of their abstracts and impact summaries. For those research projects that significantly address more than one area, a secondary housing focus was assigned. The distribution of research projects across the different focus areas is represented in Figure 2.

Figure 2 - Number of ODA-Funded Research Projects (by UK Research Funders, initiated between FY 2013/2014 – FY 2017/18 and active during FY 2017/18) by Housing Focus Area



These UK-funded research projects address 8 of the 12 focus areas listed in Section 2.1, which together comprise Kenyan government's interest in the housing policy area. 'Zoning and Urban Planning' is the most commonly-funded primary housing focus area of the research projects included in the analysis. This is likely a result of Kenya's well-documented experiences with rapid urbanisation in recent years. When considering both the primary and secondary housing foci, 'Public Land Use'; 'Upgrading Slums and Informal Settlements'; and 'Social Housing' are housing topics that are also explored by a comparatively large amount of UK-funded research.

Examining the data on project focus from a different perspective, Figure 3 analyses the amount of funding, considering MCF, allocated to each of the Kenyan housing focus areas according to the research projects' primary housing focus. 'Public Land Use', despite having fewer research projects than 'Zoning and Urban Planning', was awarded the most funds - receiving a total of £8.6 million, accounting for 66.55% of the total estimated figure of £13.0 million (adjusting for MCF).

Figure 3 - Funding Amounts by Primary Housing Area of ODA-Funded Research Projects Relating to Housing in Kenya by UK Funders (initiated between FY 2013/2014 – FY 2017/18 and active during FY 2017/18), adjusted for MCF.



CCC = Competitive Construction Costs; **GBC** = Green Building Codes (£48.6k)

Based on this analysis only, there is currently an absence of prominently UK-funded research in the following areas as they were neither assigned as a primary nor secondary housing focus area (though some of these areas have a less-obvious international development focus and may be outside the remit of some UK research funders):

- Innovative Developer Financing
- Land Transfer

- Sustainable Building Standards and Design
- Safety in the Housing Sub-Sector

Of the areas that have received funding, when considering research projects by their primary housing focus, 'Competitive Construction Costs' and 'Green Building Codes' both received less than 1% of the (estimated) total funding, while 'Access to Affordable Home Buyer Financing' was only listed as a secondary focus by one research project.



3.5 Research Impact

Each of the projects stated impacts have been summarised at a high level and then grouped into one of four categories depending on the nature of their impact, namely: advocating and policy advice; capacity building; identifying challenges and solutions; and service provision. These groupings are displayed in Table 4, below:

Table 4 - Impact Summary of ODA-Funded Research Projects Related to Housing in Kenya by UK Research Funders (initiated between FY 2013/2014 – FY 2017/18 and active during FY 2017/18).

ADVOCATING AND POLICY ADVICE	CAPACITY BUILDING
 Geologically-informed urban planning policies Green growth strategies to tackle poverty Increased role of urbanisation in economic development and growth strategies Safer urban mobility 	Resource-efficient development corridors
IDENTIFYING CHALLENGES AND SOLUTIONS	SERVICE PROVISION
 Adaptation of communities to 21st century environmental and health challenges Creation of low-cost construction materials and efficient waste management Improved air quality in low-resource settings Improved living conditions in informal settlements based on community feedback Resilience of marginalised communities to climate change Resilience of communities to disasters Road safety and design of urban areas Shelter for low-income communities 	 Access to renewable energy Healthcare access in slums and informal settlements

The impact category with the greatest number of research projects was 'identifying challenges and solutions' (8), ranging from building resilient communities in the face of natural disasters and climate change, to the creation of low-cost construction materials for housing in Kenya.

The impacts of these 15 research projects are important enabler's for attaining 14 of the 17 United Nation's 17 Sustainable Development Goals (SDGs). This is due to the strong interdisciplinary nature of UK-funded research, which is a key component of the UK's aid strategy as the British government recognises that global challenges require sustainable innovations and solutions that cut across several thematic areas.



4. Conclusion

Through mapping and analysis, UKCDR determined that the portfolio of 15 UK-funded projects (initiated between FY 2013/2014 -2017/18 and active during FY 2017/18) on research relating to housing in Kenya, is worth an estimated total of £13.0 million.

DFID has invested the most funds into research related to housing in Kenya (during this period), accounting for 54.4% of the estimated total £12.8 million-worth of ODA funding (accounting for MCF). 'Public Land Use' was the most-commonly funded housing topic, accounting for almost two-thirds of the estimated total of £13.0 million (accounting for MCF) of funds invested by the UK on research relating to housing in Kenya. There is, therefore, scope for future UK research programmes intending to align with the Kenyan government's specific priorities on housing to address challenges in other housing areas – especially the five (of twelve) housing areas that are not the primary focus of any of the 15 UK-funded research projects included in this analysis.

Though there have been sizeable investments made by UK research funders related to the Kenyan policy area of housing, such investments are small in proportion relative to other sectors as well as the overall UK research and development spend for the benefit of Kenya. There is therefore value in considering future funding programmes to address topics concerning housing (and the built environment more widely) as they are an important enabler for attaining the SDGs. There is a growing body of evidence on the impact of the built environment on several determinants of health, and inadequate infrastructure has been linked not only to poverty, but also to environmental impact, social peace, crime, education and national insecurity, cutting across all SDGs.

With Kenya being ranked as the country with the 17th-highest annual urban population growth globally⁶, the challenges that come with this rapid urbanisation intersect the full breadth of research for international development, cutting across traditional academic divides and disciplines. Yet alongside these challenges come opportunities: according to some predictions, 60% of urban areas globally that will exist in 2030 are yet to be built. This offers a unique juncture for built environment research to not only address current challenges but also support more sustainable and resilient urbanisation over the coming decades.

As a result, there is an opportunity to build on and enhance the impact of UK-funded research investments in this space (and beyond) through continued dialogue with the UK-Kenya High-Level Oversight Board on Research, Science and Innovation, co-chaired by the Cabinet Secretary of the Kenyan Ministry for Education and the British High-Commissioner. This analysis can help inform future discussions with this Board on coherent investments for and with Kenya.



Notes

¹ While the Department for International Development remains the UK's primary channel for delivering UK aid, in response to the changing world, the 2015 UK aid strategy was followed by a step-change in spending on development research, spreading increased funds across more government departments and bringing in new sectors of the research and innovation communities and new collaborations, such as the Newton Fund and Global Challenges Research Fund.

² As estimated by UKCDR.

 $^{^3}$ Between 2015 and 2020, the Wellcome Trust aims to spend £5 billion on health research, with about 20% of funding currently being spent in international settings.

⁴ The requirement of ODA-funded research did not apply to the Wellcome Trust who were instead requested to provide data on research projects that were relevant to housing in Kenya.

⁵ This primarily comprises of the National Treasury's 2018 Budget Policy Statement which outlines the objectives of the Kenyan government's Big Four Agenda (source: Republic of Kenya (2018). 2018 Budget Policy Statement: Creating Jobs, Transforming Lives – "The Big Four" Plan. Medium Term. February 2018. The National Treasury, p. 27).

⁶ According to population estimates calculated by the World Bank and urban ratios from the United Nations World Urbanization Prospects (source: World Bank (2019). Urban population growth (annual %) | Data. The World Bank. Retrieved from https://data.worldbank.org/indicator/SP.URB.GROW).

Annex 1 – Organisations Contributing Data

Department for International Development

Department of Health and Social Care (Global Health Research Team)

Royal Society (on behalf of all National Academies)

UK Research and Innovation

UK Science and Innovation Network in Kenya

Wellcome Trust

Annex 2 - Funder Profiles

British Academy

Through its international programmes and collaborations, the British Academy aims to recognise and support excellence in the humanities and social sciences in the UK and overseas; generate new insights on (what works in tackling) global challenges; and enhance engagement between communities of research and practice. The British Academy's international work (comprising its international programmes, international affiliations and British Research Institutes) is primarily clustered around five priority themes:

- Urban Futures:
- Justice, Rights and Equality;
- Conflict, Stability and Security;
- Europe's Futures;
- Knowledge Frontiers.

The British Academy are also a delivery partner for GCRF and the Newton Fund.

Source: British Academy

British Council

The British Council's official development assistance activities are funded via the Newton Fund. Through this, the British Council offers travel and workshop grants to researchers (under the 'Researcher Links' programme); grants supporting research and innovation collaborations (under the 'Institutional Links' programme); PhD scholarships and placements (under the Newton PhD programme); and skills development, dialogue and knowledge exchange in the research environment. (under the 'Professional Development and Engagement' programme).

Source: British Council

Department of Business, Energy and Industrial Strategy (BEIS)

Following the comprehensive spending review in 2015, BEIS received £2.97 billion-worth of ODA funding for research and innovation. This funding is used by BEIS to support and deliver the strategic objectives of the 2015 UK aid strategy. Specifically, the department's strategy for achieving their objective of focusing resources on addressing practical development problems where there is a clear pathway to impact comprises of three elements:

- Partnering with developing countries to use research and innovation to solve their specific development challenges and increasing their capacity;
- Working with global partners to use research and innovation to solve global development challenges;
- Using dedicated funding to focus part of the UK's world leading research and innovation system on global development challenges where the UK can make a significant impact.

The two core policy interventions to deliver this strategy as outlined in BEIS' R&D ODA statement of intent are the Global Challenges Research Fund and the Newton Fund which are both delivered by a number of partners including UK Research and Innovation and the National Academies.

Source: BEIS

Department for International Development (DFID)

DFID are a key funder of international development research in the UK, investing approximately 3% of their total budget on research, totalling £1.5bn across the spending review period (2015–2021).

DFID research, which forms a key component of their programme, has three strands of work:

- Developing new technologies and products such as drought resistant crops, better drugs for malaria and neglected diseases;
- Enhancing the understanding of the development approaches that work most effectively to improve the impact and value for money of spending on development;
- Improving the understanding of key development questions so that DFID can make the best policy choices. For example, predicting the onset of the West African rains, finding out why girls leave school early and understanding causes and effects of corruption and how to address them.

Source: DFID

Department of Health and Social Care (DHSC)

Following the UK government's 2015 comprehensive spending review, DHSC received ODA funding for global health research. This included £430m awarded to the National Institute for Health Research (NIHR) to support high-quality applied health research for the direct and primary benefit of people in low and middle-income countries. DHSC commissions research through NIHR across three different strands:

- **Programmes:** Researcher-led and targeted thematic research calls directly commissioned and managed by the NIHR.
- **Partnerships:** Co-creating or contributing to high-quality schemes for commissioning global health research, in partnership with other funders with a strong track-record in this field, and in areas of strategic importance.
- **People:** Supporting research capability, training and development of global health researchers and future leaders in the UK and LMICs.

Source: NIHR

UK Research and Innovation (UKRI)

UKRI supports research that addresses the challenges faced by developing countries and develops science and innovation partnerships that promote the economic development and welfare of collaborating countries. Though UKRI's official development assistance funds are provided primarily through the Newton Fund and the Global Challenges Research Fund, several research councils deliver international programmes through additional avenues and partnerships with other funders based in the UK (such as DFID) and internationally.

Source: <u>UKRI</u>

The Wellcome Trust

The Wellcome Trust is a global charitable foundation, politically and financially independent, focusing on using science and research to improve health globally. The Wellcome Trust funds a range of schemes, fellowships and team awards, supporting thousands of scientists and researchers in more than 70 countries, as well as innovators, educators and artists in the following areas:

- Biomedical science;
- Population health;
- Product development and applied research;
- Humanities and social science;
- Public engagement and creative industries;
- Education.

Additionally, through their priority areas, Wellcome also fund initiatives relevant to international development research such as Our Planet Our Health and Research Ecosystems in Africa and Asia.

Source: Wellcome Trust